

Docket Number 135860-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Sunil Ashtekar et al.

Serial No.: 10/815,879

Filing Date: 03/31/2004

For: Process For The Monoalkylation Of Dihydroxy  
Aromatic Compounds

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

)  
) Group Art Unit:  
)  
) Examiner:  
)  
)  
)  
)

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §§ 1.56, 1.97 AND 1.98**

Sir:

In compliance with the duty to disclose, submitted herewith is form PTO-A820 (PTO-1449) listing publication(s) of which those designated by 37 CFR § 1.56 are aware. Copies of the non-United States patents or published applications are enclosed.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made, or an admission that the information cited is, or is considered to be, material to patentability.

Respectfully submitted,

CANTOR COLBURN LLP

By: Patricia S. DeSimone  
Patricia S. DeSimone  
Registration No. 48,137

Date: May 6, 2004  
Customer No.: 23413  
Telephone: (860) 286-2929

<b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b> (Under 37 CFR 1.97(b) or 1.97(c))		Docket No. 135860-1	
In Re Application Of: Sunil Ashtekar et al.			
Serial No. 10/815,879	Filing Date 03/31/2004	Examiner	Group Art Unit
Title: <b>PROCESS FOR THE MONOALKYLATION OF DIHYDROXY AROMATIC COMPOUNDS</b>			
<p>Address to: Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450</p> <p><b>37 CFR 1.97(b)</b></p> <p>1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.</p> <p><b>37 CFR 1.97(c)</b></p> <p>2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:</p> <p><input type="checkbox"/> the statement specified in 37 CFR 1.97(e);</p> <p><b>OR</b></p> <p><input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).</p>			

## TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
135860-1

In Re Application:

Sunil Ashtekar et al.

Serial No.

10/815,879

Filing Date

03/31/2004

Examiner

Group Art Unit

## PROCESS FOR THE MONOALKYLATION OF DIHYDROXY AROMATIC COMPOUNDS

## Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 07-0862 as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

## Certificate of Transmission by Facsimile\*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F:

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## Certificate of Mailing by First Class Mail

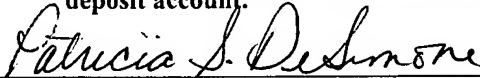
I certify that this document and fee is being deposited on May 6, 2004 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Michelle E. Fetzner

Typed or Printed Name of Person Mailing Certificate

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Signature

Dated: May 6, 2004

Patricia S. DeSimone

Registration No. 48,137

Customer No. 23413

Telephone: (860) 286-2929

CC:

<p style="text-align: center;"><b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)</p> <div style="position: relative; width: 100px; height: 100px; margin: 0 auto;"> <div style="position: absolute; top: 0; left: 0; right: 0; bottom: 0; border: 1px solid black; border-radius: 50%; text-align: center; line-height: 100px; font-size: 24px; font-weight: bold;">O I P E</div> <div style="position: absolute; top: 10%; left: 10%; font-size: 12px;">MAY 10 2004</div> <div style="position: absolute; top: 50%; left: 10%; transform: rotate(-90deg); font-size: 10px;">PATENT &amp; TRADEMARK OFFICE</div> </div>	ATTY DOCKET NO. <b>135860-1</b>	SERIAL NO. <b>10/815,879</b>
	Sunil Ashtekar et al.	
	FILING <b>03/31/2004</b>	GROUP

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,306,874	02/28/1967	Hay			
	3,306,875	02/28/1967	Hay			
	3,446,856	05/27/1969	Hamilton, Jr.			
	3,707,569	12/26/1972	van Sorge et al.			
	3,764,630	10/09/1973	van Sorge			
	3,790,641	02/05/1974	Oshima et al.			
	3,843,606	10/22/1974	van Sorge			
	3,953,529	04/27/1976	Yonemitsu et al.			
	3,962,181	06/08/1976	Sakauchi et al.			
	3,968,172	07/06/1976	Ichikawa et al.			
	3,972,828	08/03/1976	van Sorge			

**FOREIGN PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 84/01146	29.03.1984	WIPO				
	EP 0 102 493	14.03.1984	Europe				
	EP 0 171 792	19.02.1986	Europe				
	EP 0 987 220 A1	22.03.2000	Europe				
	WO 0138223	31.05.2001	WIPO				

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

			International Search Report for PCT/US02/31654, mailed January 28, 2003

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,972,836	08/03/1976	van Sorge			
	3,974,229	08/10/1976	van Sorge			
	3,979,464	09/07/1976	Leach			
	3,994,982	11/30/1976	Leach			
	4,022,715	05/10/1977	Bornfriend			
	4,022,843	05/10/1977	Leach			
	4,024,195	05/17/1977	Yonemitsu et al.			
	4,041,085	08/09/1977	Frabetti, Jr.			
	4,048,239	09/13/1977	Smith			
	4,083,828	04/11/1978	Olander			
	4,085,150	04/18/1978	Smith			

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DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO
EP 0 785 180 A2	23.07.1997	Europe				
EP 0 438 329 A1	24.07.1991	Europe				
EP 1 041 061 B1	01.10.2003	Europe				
FR 2 670 778 A1	26.06.1992	France				

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*


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*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4,092,294	05/30/1978	Bennett, Jr. et al.			
	4,097,441	06/27/1978	Sircar et al.			
	4,126,750	11/21/1978	Poe et al.			
	4,128,728	12/05/1978	Arnold et al.			
	4,140,773	02/20/1979	Stowell et al.			
	4,165,439	08/21/1979	Smith			
	4,179,411	12/18/1979	Broersma et al.			
	4,201,880	05/06/1980	van Sorge			
	4,208,537	06/17/1980	Kawamata et al.			
	4,215,229	06/29/1980	Greco			
	4,227,023	10/07/1980	Kawamata et al.			

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*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4,227,024	10/07/1980	Leach			
	4,269,735	05/26/1981	Leach			
	4,283,574	08/11/1981	Leach			
	4,290,924	09/22/1981	Leach			
	4,322,566	05/30/1982	Leach			
	4,323,714	04/06/1982	Malloy et al.			
	4,329,517	05/11/1982	Taniguchi et al.			
	4,351,958	09/28/1982	Takahata et al.			
	4,361,709	11/30/1982	Kawamata et al.			
	4,375,566	05/01/1983	Kawamata et al.			
	4,386,226	05/31/1983	Adey et al.			

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	4,418,224	11/29/1983	Bennett et al.			
	4,454,357	06/12/1984	Inoue et al.			
	4,458,031	07/03/1984	Battista et al.			
	4,460,702	07/17/1984	Smith			
	4,469,908	09/04/1984	Burress			
	4,471,149	09/11/1984	Adey et al.			
	4,475,001	10/02/1984	Leston			
	4,476,329	10/09/1984	Chambers et al.			
	4,482,758	11/13/1984	Seig			
	4,517,389	05/14/1985	Katsumata et al.			
	4,528,407	07/09/1985	Smith et al.			

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	4,547,480	10/15/1985	Bennett, Jr. et al.			
	4,554,266	11/19/1985	Bennett et al.			
	4,554,267	11/19/1985	Chambers et al.			
	4,560,810	12/24/1985	Talley et al.			
	4,572,778	02/25/1986	Ward			
	4,605,766	08/12/1986	Hargis			
	4,644,086	02/17/1987	Voges et al.			
	4,677,089	06/30/1987	Bennett, Jr. et al.			
	4,720,478	01/19/1988	Voges et al.			
	4,753,913	06/28/1988	Lenz et al.			

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	4,814,083	03/21/1989	Ford et al.			
	4,822,836	04/18/1989	Wroczynski			
	4,851,591	07/25/1989	Battista et al.			
	4,874,810	10/17/1989	Lee, Jr. et al.			
	4,876,398	10/24/1989	Lin et al.			
	4,900,708	02/13/1990	Bennett et al.			
	4,912,264	03/27/1990	Takeshita et al.			
	4,933,509	06/12/1990	Warner			
	4,969,989	11/13/1990	Simpson			
	5,017,655	05/21/1991	Kase et al.			
	5,017,656	05/21/1991	Bopp			

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U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,059,727	10/22/1991	Ito			
		5,097,079	03/17/1992	Bennett, Jr. et al.			
		5,128,304	07/07/1992	Ito			
		5,132,468	07/21/1992	Doussain et al.			
		5,175,375	12/29/1992	Chang et al.			
		5,227,342	07/13/1993	Anderson et al.			
		5,245,089	09/14/1993	Irick, Jr. et al.			
		5,321,105	06/14/1994	Rekers et al.			
		5,345,005	09/06/1994	Thakur et al.			
		5,371,306	12/06/1994	Woo et al.			
		5,488,173	01/30/1996	Wang			

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	5,622,684	04/22/1997	Pinnavaia et al.			
	5,672,558	09/30/1997	White et al.			
	5,847,237	12/08/1998	Yago et al.			
	5,986,138	11/16/1999	Satyavathi et al.			
	6,037,295	03/14/2000	Satyavathi et al.			
	6,049,008	04/11/2000	Roberts et al.			
	6,054,627	04/25/2000	Thakur et al.			
	6,203,774	03/20/2001	Han et al.			
	6,261,987	07/17/2001	Watson et al.			
	6,291,724	09/18/2001	Braat			
	6,294,499	09/25/2001	Watson et al.			

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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,303,801	10/16/2001	Suzuki et al.			
	6,395,871	05/28/2002	Watson et al.			
	2003/0073572 A1	04/17/2003	Parrillo et al.			
	2003/0125586 A1	07/03/2003	Sankarasubbier et al.			

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